# SEP 2 4 2004 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

: 10/790,786

Applicant : Jingyu Lian, et al. Filed : March 3, 2004 TC/A.U. : Not Yet Assinged

Examiner : Unknown Confirmation No. : 4369

Docket No. : 0928.0067C

Customer No. : 27896

Title : Method for Forming A (III) Oriented BSTO Thin Film

Layer for High Dielectric Constant Capacitors

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

#### PETITION UNDER 37 C.F.R. 1.47(a)

Sir:

Applicants Jingyu Lian, David Kotecki, Robert Laibowitz, Katherine Saenger, Chenting Lin, Nicolas Nagel, Yunyu Wang, Satish D. Athavale, and Thomas Shaw hereby petition the Commissioner, through their attorney of record, that the above-identified patent application be accept for examination pursuant to 35 U.S.C. §116 and 37 C.F.R. §1.47(a) under the circumstances that one of the joint inventors, Hua Shen, now refuses to join in the above-identified patent application. The available joint inventors, Jingyu Lian, David Kotecki, Robert Laibowitz, Katherine Saenger, Chenting Lin, Nicolas Nagel, Yunyu Wang, Satish D. Athavale, and Thomas Shaw, have executed the Declaration on their own behalf and on behalf of the non-signing joint inventor, as indicated by the signature block of the non-signing inventor being left blank.

The enclosed Declaration in Support of Petition Under 37 C.F.R. 1.47(a), and the accompanying documentary evidence meet the requirement set forth in 35 U.S.C. § 116, 37

C.F.R. § 1.47(a) and M.P.E.P. § 409.03 to provide proof that the non-signing inventor refuses to

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REISSUE APPLICATION OF SMALLCOMB ET AL. APPLICATION SERIAL No. 09/927,778 PAGE 2 OF 2

execute the application papers.

The last known address of the non-signing joint inventor is:

Hua Shen c/o xilinx, Inc. 2100 Logic Drive San Jose, CA 95124

Your petitioners therefore respectfully request that, pursuant to 35 U.S.C. 116 and 37 C.F.R. 1.47(a), the above-identified application be accepted for examination.

A check in the amount of \$130 is enclosed in payment of the required petition fee (37 C.F.R. § 1.17(h)). Applicants hereby petition for any extension of time which may be required to maintain the pendency of this case, and any required fee for such extension or any other fee required to maintain the pendency of this case is to be charged to Deposit Account No. 05-0460.

Dated:  $\frac{9/29/54}{}$ 

EDELL, SHAPIRO & FINNAN, LLC **CUSTOMER No. 27896** 1901 Research Boulevard, Suite 400 Rockville, MD 20850 (301) 424-3640

Respectfully submitted by

EDELL, SHAPIRO & FINNAN, LLC

By:

Reg. No. 39,189

SEP 2 4 2004 E

Appl. No. : 10/790,786

Applicant : Jingyu Lian, et al. Filed : March 3, 2004 TC/A.U. : Not Yet Assinged

Examiner : Unknown Confirmation No. : 4369

Docket No. : 0928.0067C Customer No. : 27896

Title : Method for Forming A (III) Oriented BSTO Thin Film

Layer for High Dielectric Constant Capacitors

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

### **DECLARATION IN SUPPORT OF PETITION UNDER 37 C.F.R. 1.47(a)**

Sir:

#### I, Patrick J. Finnan, declare as follows:

I am an attorney, registered to practice before the U.S. Patent and Trademark Office, who is handling Application Serial No. 10/790,786 filed on March 3, 2004 for the invention entitled "Method for Forming A (III) Oriented BSTO Thin Film Layer for High Dielectric Constant Capacitors," and have firsthand knowledge of the facts and events relating to the refusal of the inventor, Hua Shen, to join in this reissue application of the subject invention by refusing to execute the application Declaration required under 37 C.F.R. §1.51, §1.63 and §1.175.

I hereby aver that Jingyu Lian, David Kotecki, Robert Laibowitz, Katherine Saenger, Chenting Lin, Nicolas Nagel, Yunyu Wang, Satish D. Athavale, Thomas Shaw, and Hua Shen invented the subject matter disclosed in the application. Jingyu Lian, David Kotecki, Robert Laibowitz, Katherine Saenger, Chenting Lin, Nicolas Nagel, Yunyu Wang, Satish D. Athavale, and Thomas Shaw executed the original application Declaration stating that they are joint

inventors and that they have reviewed and understood the contents of the application, including the specification and claims. (See Appendix A). Ms. Shen has never executed a previous Declaration.

On September 10, 2004, I sent a letter via USPS, Certified Return Receipt Requested to Ms. Shen relating to executing for an application Declaration for the instant application. (Appendix B) at her last-known address: Hua Shen, c/o xilinx, Inc., 2100 Logic Drive, San Jose, CA 95124. Attached to the letter was a Declaration for execution and a copy of the application as filed. The letter explained that the executed Declaration needed to be filed in the U.S. Patent and Trademark Office n order to be accepted for examination. The letter requested Ms. Shen to sign and date the declaration, and to return the declaration to me.

On September 22, 2004, I received the return receipt card indicating Ms. Shen had received the documents (Appendix C). Ms Shen apparently continues to refuse to sign a Declaration.

I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

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## U.S. PATENT APPLICATION OF JINGYU LIAN, ET AL. APPLICATION SERIAL NO. 10/790,786 PAGE 3 OF 3

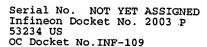
Dated: 9/24/04

EDELL, SHAPIRO & FINNAN, LLC CUSTOMER NO. 27896 1901 Research Boulevard, Suite 400 Rockville, MD 20850 (301) 424-3640 Respectfully submitted by

EDELL, SHAPIRO & FINNAN, LLC

By:

Patrick J. Finnan Reg. No. 39,189





## DECLARATION FOR PATENT APPLICATION, POWER OF ATTORNEY & DESIGNATION OF CORRESPONDENCE ADDRESS

As below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

## METHOD FOR FORMING A (111) ORIENTED BSTO THIN FILM LAYER FOR HIGH DIELECTRIC CONSTANT CAPACITORS

		•		
the specification of	of which (check one	e)		
X is attache	ed hereto.			
was filed	on	as Application Serial No		
	d on			
I hereby sidentified specifications.	state that I have r ation including the	reviewed and understand the claims, as amended by an	e contents of ny amendmen	the above- t referred to
I acknowle patentability of thi	edge the duty to d s application in acc	isclose information known to cordance with 37 CFR §1.56(	me to be ma a).	aterial to the
	OR TO THIS APPL	ION(S) FILED WITHIN 12 MO ICATION AND ANY PRIORI U.S.C. § 119(a)–(d)		
application(s) for pany foreign applic	patent or inventor's	ority benefits under 35 US s certificate listed below and inventor's certificate having aimed:	have also ide	ntified below
	Prior Foreign App	olication(s)	Priority 0	Claimed
Number	Country	Day/Month/Year Filed	Yes	No
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			<del></del>	

### (35 U.S.C. § 119(e))

I hereby claim the benefit under Title 35, United States Code, § 119 (e) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date
·	. 0

## CLAIM FOR BENEFIT OF EARLIER US/PCT APPLICATION(S) UNDER 35 U.S.C. § 120

I hereby claim the benefits under 35 USC § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 USC § 112, I acknowledge the duty to disclose material information as defined in 37 CFR § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Appl. No.	Filing Date	Patented, Pending, Abandoned

<u>Power of Attorney</u>: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Erik O. Berger, Reg. No. 42,315; Stanton C. Braden, Reg. No. 32,556; Marie-Claire B. Maple, Reg. No. 37,588; Lawrence J. Gotts, Reg. No. 31,163, Michael D. Bednarek, Reg. No. 32,329, Aslan Baghdadi, Reg. No. 34,542, Elizabeth M. Roesel, Reg. No.34,878, David C. Isaacson, Reg. No. 38,500, Lawrence D. Eisen, Reg. No. 41,009, Michael A. Oblon, Reg. No. 42,956, Steven P. Arnheim, Reg. No. 43,475, Poh C. Chua, Reg. No. 44,615, Michelle S. Marks, Reg. No. 41,971, Joanne H. Kim, Reg. No. 51,193, Chad D. Wells, Reg. No. 50,875, Brett C. Martin, Reg. No. 52,000

## Send correspondence to: SHAW PITTMAN LLP

1650 Tysons Boulevard McLean, VA 22102-4859 (703) 790-7900

#### **Direct telephone calls to:**

Michael A. Oblon (703) 770-7645

I hereby declare that all statements made herein on my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under

further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under 18 USC \$1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full Name of First Inventor: Jingyu LIAN	
Inventor's Signature: Jembian	Date: 12-9-03
Residence: Wallkill, New York 12589	
Citizenship: United States	
Mailing Address: 6 Libra Lane, Wallkill, New York 12589	
Full Name of Second Inventor: David KOTECKI	
Inventor's Signature:	Date:
Residence: Orono, Maine	
Citizenship: United States	
Mailing Address: 55 College Avenue, Orono, Maine 04473	
Full Name of Third Inventor: Hua SHEN	
Inventor's Signature:	Date:
Residence: San Jose, California	
Citizenship: China	
Mailing Address: c/o Xilinx, Inc., 2100 Logic Drive, San Jose	, California 95124
	8
Full Name of Fourth Inventor: Robert LAIBOWITZ	
Inventor's Signature:	Date:
Residence: Cortland Manor, New York	
Citizenship: United States	
Mailing Address: 407 Furnace Dock Road, Cortland Manor, 1	New York 10567
Full Name of Fifth Inventor: Katherine SAENGER	
Inventor's Signature:	Date:

Residence:

Citizenship:

Ossining, New York

Mailing Address: 115 Underhill Road, Ossining, New York10562

**United States** 

18 USC  $\S 1001$  and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full Name of First Inventor: Jingyu LIAN		
Inventor's Signature:	Date:	
Residence: Wallkill, New York 12589		
Citizenship: United States		
Mailing Address: 6 Libra Lane, Wallkill, New York 12589		
Full Name of Second Inventor: David KOTECKI		
Inventor's Signature:	Date: (2/17/03	
Residence: Orono, Maine	7	
Citizenship: United States		
Mailing Address: 55 College Avenue, Orono, Maine 04473		
Full Name of Third Inventor: Hua SHEN	·	
Inventor's Signature:	Date:	
Residence: San Jose, California		
Citizenship: China		
Mailing Address: c/o Xilinx, Inc., 2100 Logic Drive, San Jose, California 95124		
Full Name of Fourth Inventor: Robert LAIBOWITZ	· · · · · · · · · · · · · · · · · · ·	
Inventor's Signature:	Date:	
Residence: Cortland Manor, New York		
City I have the second		

Mailing Address: 407 Furnace Dock Road, Cortland Manor, New York 10567

Full Name of Sixth Inventor: Chenting LIN	
Inventor's Signature:	Date:
Residence: Poughkeepsie, New York	
Citizenship: Taiwan	
Mailing Address: 15 Coachlight Drive, Poughkeepsie, Ne	w York 12605
Full Name of Seventh Inventor: Nicolas NAGEL	
Inventor's Signature:	Date:
Residence: Dresden, Germany	
Citizenship: Germany	
Mailing Address: Koenigsbuecker strasse 180, 01099 Dr	esden, Germany
Full Name of Eighth Inventor: Yunyu WANG	
Inventor's Signature: Sym-fu (1) cang	Date: 12/9/03
Residence: Poughquag, New York	
Citizenship: United States	
Mailing Address: 1450. Cypher Lane, Poughquag, New	York 12570
ygw-> 34	
Full Name of Ninth Inventor: Satish D. ATHAVALE	
Inventor's Signature:	Date:
Residence: Fishkill, New York	
Citizenship: India	
Mailing Address: 111 Elmcrest Drive, Fishkill, New York	12524
Full Name of Tenth Inventor: Thomas SHAW	
Inventor's Signature:	Date:
Residence: Peekskill, New York	
Citizenship: United Kingdom	*
Mailing Address: 1210 Elm Street, Peekskill, New York	10566

further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under 18 USC §1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full Name of First Inventor: Jingyu LIAN	
Inventor's Signature:	Date:
Residence: Wallkill, New York 12589	
Citizenship: United States	
Mailing Address: 6 Libra Lane, Wallkill, New York 12589	
Full Name of Second Inventor: David KOTECKI	
Inventor's Signature:	Date:
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Full Name of Third Inventor: Hua SHEN	
Inventor's Signature:	Date:
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Citizenship: China	
Mailing Address: c/o Xilinx, Inc., 2100 Logic Drive, San Jose	, California 95124
Full Name of Fourth Inventor: Robert LAIBOWITZ	
Inventor's Signature: White talonit	Date: 12/12/03
Residence: Cortland Manor, New York	
Citizenship: United States	
Mailing Address: 407 Furnace Dock Road, Cortland Manor, N	New York 10567
Full Name of Fifth Inventor: Katherine SAENGER	
Inventor's Signature: Katherine Saenger	Date: 12/10/03
Residence: Ossining, New York	
Citizenship: United States	
Mailing Address: 115 Underhill Road, Ossining, New York105	62

Full Name of Sixth Inventor: Chenting LIN
Inventor's Signature: Date:
Residence: Poughkeepsie, New York
Citizenship: Taiwan
Mailing Address: 15 Coachlight Drive, Poughkeepsie, New York 12605
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Inventor's Signature: Date:
Residence: Dresden, Germany
Citizenship: Germany
Mailing Address: Koenigsbuecker strasse 180, 01099 Dresden, Germany
Full Name of Eighth Inventor: Yunyu WANG
Inventor's Signature: Date:
Residence: Poughquag, New York
Citizenship: United States
Mailing Address: 145 C. Cypher Lane, Poughquag, New York 12570
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Inventor's Signature: Date:
Residence: Fishkill, New York
Citizenship: India
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Inventor's Signature: Showers Struct Date: 12/10/03
Residence: Peekskill, New York
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Mailing Address: 1210 Elm Street, Peekskill, New York 10566

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Residence: Poughkeepsie, New York	
Citizenship: Taiwan	
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Full Name of Seventh Inventor: Nicolas NAGEL	
Inventor's Signature: Wicolas Wagel	Date: 18 Dec 2003
Residence: Dresden, Germany	
Citizenship: Germany	
Mailing Address: Koenigsbuecker strasse 180, 01099 Dresc	den, Germany
Full Name of Eighth Inventor: Yunyu WANG	
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Residence: Ossining, New York	
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Mailing Address: 15 Coachlight Drive, Poughkeepsie, New York 12605

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Inventor's Signature: Date:

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Citizenship: United States

Mailing Address: 145 C. Cypher Lane, Poughquag, New York 12570

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Inventor's Signature: Date: Dec. 17, 2003
Residence: Fishkill, New York
Citizenship: India
Mailing Address: 111 Elmcrest Drive, Fishkill, New York 12524

Full Name of Tenth Inventor: Thomas SHA	AW
Inventor's Signature:	Date:
Residence: Peekskill, New York	
Citizenship: United Kingdom	

## BEST AVAILABLE COPY



IRA C. EDELL
STUART B. SHAPIRO
PATRICK J. FINNAN
HOWARD R. RICHMAN
ANDREW J. ALDAG♦
HEATHER G. MORIN+
MICHAEL E. GRENDZYNSKI △
WESLEY W. MULLER
AISHA AHMAD

 LAW OFFICES OF

## EDELL, SHAPIRO & FINNAN, LLC

1901 RESEARCH BOULEVARD SUITE 400 ROCKVILLE, MARYLAND 20850

TELEPHONE (301) 424-3640

FACSIMILE (301) 762-4056

WWW.USIPLAW.COM

September 10, 2004

OF COUNSEL:
BARBARA A. FRIEDMAN
MARTIN ABRAMSON\*+

#### Via Certified Mail

Ms. Hua Shen c/o xilinx, Inc. 2100 Logic Drive San Jose, CA 95124

Re:

U.S. Patent Application Serial No. 10/790,786

Method for Forming a (111) Oriented BSTO Thin Film Layer for

High Dielectric Constant Capacitors

Infineon Ref: 2003P53234 US; Our Ref.: 0928.0067C

Dear Ms. Shen:

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オココン

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City, State, Zi

We recently took over representation of the above-identified patent application from Shaw Pittman, LLP on behalf of Infineon Technologies North America Corp.

Enclosed for your execution are a Declaration and Power of Attorney, an Assignment and a copy of U.S. Patent Application Serial No. 10/790,786. Please sign the Declaration and Assignment documents and return them to us in the enclosed FedEx envelope immediately, so that they may be timely filed in the U.S. Patent and Trademark Office.



ly questions, concerns or comments relating to the

Sincerely Patrick J. Finnan

December 1981	A Property of the Control of the Con
SENDER: COMPLETE THIS SECTION	COMPLETE THIS SECTION ON DELIVERY
Complete items 11:2 and 3: Also complete item 4 if Restricted Delivery is desired.  Print your name and address on the reverse so that we can return the card to you.  Attain this card to the back of the mallpiece, or on the front if space permits.	A Signature  A Agent  Addressee  B Acayed by (Finited Name)  C Date of Delivery  D S dilvery address different from item 1?   Yes  If YES, enter-delivery address below:
San Jose, CA 95124	3. Şervice Type
2. Article Number 7003 1680	0001 4005 5048
PS Form 3811, August 2001 Domestic Re	turn Receipt 102595-02-M-1540

0928-0067C

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PTO/SB/82 (09-03)
Approved for use through 11/30/2005. OMB 0651-0035
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CHANGE OF CORRESPONDENCE ADDRESS

spond to a conection of information units	ss it displays a valid OMB control number.
Application Number	10/790,786
Filing Date	March 3, 2004
First Named Inventor	Jingyu Lian, et al.
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	0928.0067C

I hereby revoke all previous powers of attorney given in the above-identified application.					
A Power of Attorney	is submitted herewith.				
OR  I hereby appoint the	practitioners associated with t	he Customer No	umber:		
Please change the correspondence address for the above-identified application to:  The address associated with					
Customer Numb  OR	er:	27896			
Firm <i>or</i> Individual Name			· · · · · · · · · · · · · · · · · · ·		
Address					
Address				•	
City		State		Zip	
Country					
Telephone		Fax			
I am the:  Applicant/Inventor.  Assignee of record  Statement under 37	of the entire interest. See 37 ( CFR 3.73(b) is enclosed. (For	DFR 3.71. rm PTO/SB/96)			
Name I A I	SIGNATURE of Applican				
Name Michae Kucher	r, for Infineon technologies Nor	th America Corp	., Its Assistant Se	ecretary	Duly Authorized
Signature	MA				
Date September	er 16. 2004	Telephone	1 010 675	7 71 (	) 1
NOTE: Signatures of all the inventors of signature is required, see below*.	or assignees of record of the entire interest	or their representative(	(s) are required. Submit	multiple f	orms if more than one
*Total offorms	are submitted.				

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

SEP 2 I, 2004 is der the Accordance Recorded Act of 1995, no persons are required to res

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Approved for use through 11/30/2005. OMB 0651-0035
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ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS

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Application Number	10/790,786
Filing Date	March 3, 2004
First Named Inventor	Jingyu Lian, et al.
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	0928.0067C

I hereby revoke all previous powers of attorney given in the above-identified application.			
A Power of Attorney is submitted herewith.			
OR  I hereby appoint the practitioners associated with the Customer Number:			
Please change the correspondence address for the above-identified application to:  The address associated with			
The address associated with Customer Number: 27896			
OR			
Firm or Individual Name			
Address			
Address			
City State Zip			
Country			
Telephone Fax			
I am the:  Applicant/Inventor.			
Assignee of record of the entire interest. See 37 CFR 3.71.  Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)			
SIGNATURE of Applicant or Assignee of Record			
Name Lynne D. Anderson, Program Marager, US Patent Office Liaison			
Signature Lynnes Anderson			
Date September 21, 2004 Telephone (703)299-1455			
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.			
*Total offorms are submitted.			

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.